

06-12-02

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PTO/SB/28 (10-00)

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**CONTINUED PROSECUTION APPLICATION (CPA)  
REQUEST TRANSMITTAL**

Submit an original, and a duplicate for fee processing.

(Only for Continuation or Divisional applications under 37 CFR 1.53(d))

CHECK BOX, if applicable:

☐ DUPLICATEAddress: **Assistant Commissioner for Patents  
Box CPA  
Washington, DC 20231**

Attorney Docket No. of Prior Application	SPM-290-A
First Named Inventor	Jung
Examiner Name	W. Markham
Group Art Unit	1762
Express Mail Label No.	EV 014292480 US

This is a request for a ☒ continuation or ☐ divisional application under 37 CFR 1.53(d),  
(continued prosecution application (CPA)) of prior application number 09 / 529,192,  
filed on April 6, 2000, entitled METHOD AND DEVICE FOR SURFACE-TREATING SUBSTRATES

**NOTES**

**FILING QUALIFICATIONS:** The prior application identified above must be a nonprovisional application that is either: (1) complete as defined by 37 CFR 1.51(b), or (2) the national stage of an international application in compliance with 35 U.S.C. 371. Effective May 29, 2000, a CPA may only be filed in a utility or a plant application if the prior nonprovisional application was filed before May 29, 2000. A CPA may be filed in a design application regardless of the filing date of the prior application. See "Request for Continued Examination Practice changes to and Provisional Application Practice," Final Rule, 65 Fed. Reg. 50092 (Aug. 16, 2000); Interim Rule, 65 Fed. Reg. 14865 (Mar. 20, 2000); 1233 Off. Gaz. Pat. Office (Apr. 11, 2000).

**C-I-P NOT PERMITTED:** A continuation-in-part application cannot be filed as a CPA under 37 CFR 1.53(d), but must be filed under 37 CFR 1.53(b).

**EXPRESS ABANDONMENT OF PRIOR APPLICATION:** The filing of this CPA is a request to expressly abandon the prior application as of the filing date of the request for a CPA. 37 CFR 1.53(b) must be used to file a continuation, divisional, or continuation-in-part of an application that is not to be abandoned.

**ACCESS TO PRIOR APPLICATION:** The filing of this CPA will be construed to include a waiver of confidentiality by the applicant under 35 U.S.C. 122 to the extent that any member of the public who is entitled under the provisions of 37 CFR 1.14 to access to, copies of, or information concerning the prior application may be given similar access to, copies of, or similar information concerning the other application or applications in the file jacket.

**35 U.S.C. 120 STATEMENT:** In a CPA, no reference to the prior application is needed in the first sentence of the specification and none should be submitted. If a sentence referencing the prior application is submitted, it will not be entered. A request for a CPA is the specific reference required by 35 U.S.C. 120 and to every application assigned the application number identified in such request, 37 CFR 1.78(a).

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

1. ☒ Enter the unentered amendment previously filed on May 9, 2002  
under 37 CFR 1.116 in the prior nonprovisional application.
2. ☒ A preliminary amendment is enclosed.
3. This application is filed by fewer than all the inventors named in the prior application, 37 CFR 1.53(d)(4).  
a. ☐ DELETE the following inventor(s) named in the prior nonprovisional application:  
.....  
b. ☐ The inventor(s) to be deleted are set forth on a separate sheet attached hereto.
4. ☐ A new power of attorney or authorization of agent (PTO/SB/81) is enclosed.  
06/13/2002 AJOXDAF1 00000124 09529192
5. Information Disclosure Statement (IDS) is enclosed:  
a. ☐ PTO-1449  
b. ☐ Copies of IDS Citations
- |           |           |
|-----------|-----------|
| 01 FC:131 | 740.00 OP |
| 02 FC:103 | 54.00 OP  |
| 03 FC:102 | 04.00 OP  |

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 0.4 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box CPA, Washington, DC 20231.

CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
TOTAL CLAIMS (37 CFR 1.18(c) or (i))		23 -20* =	3	x \$ 18 =	\$ 54.00
INDEPENDENT CLAIMS (37 CFR 1.18(b) or (i))		4 -3** =	1	x \$ 84 =	84.00
MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.18(d))				+ \$ _____ =	
				BASIC FEE (37 CFR 1.16)	740.00
				Total of above Calculations =	878.00
				Reduction by 50% for filing by small entity (Note 37 CFR 1.27).	
				* Reissue claims in excess of 20 and over original patent. ** Reissue independent claims over original patent.	
				TOTAL =	878.00

6. ☐ Small entity status: Applicant claims small entity status. See 37 CFR 1.27.
7. The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. 25 - 0115:
- a. ☒ Fees required under 37 CFR 1.16.
- b. ☒ Fees required under 37 CFR 1.17.
- c. ☐ Fees required under 37 CFR 1.18.
8. ☒ A check in the amount of \$ 878.00 is enclosed.
9. ☐ Payment by credit card. Form PTO-2038 is attached.
10. ☐ Applicant requests suspension of action under 37 CFR 1.103(b) for a period of \_\_\_\_\_ months (not to exceed 3 months) and the fee under 37 CFR 1.17(i) is enclosed.
11. ☐ New Attorney Docket Number, if desired \_\_\_\_\_  
(Prior application Attorney Docket Number will carryover to this CPA unless a new Attorney Docket Number has been provided herein.)
12. a. ☐ Receipt For Facsimile Transmitted CPA (PTO/SB/29A)
- b. ☒ Return Receipt Postcard (Should be specifically itemized, See MPEP 503)
13. ☐ Other: Communication

**NOTE:** The prior application's correspondence address will carry over to this CPA UNLESS a new correspondence address is provided below.

14. NEW CORRESPONDENCE ADDRESS					
<input type="checkbox"/> Customer Number or Bar Code Label		<input type="checkbox"/> New correspondence address below			
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Address					
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Country	Telephone	Fax			

15. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED	
Name (Print / Type)	Darlene P Condra
Signature	<i>Darlene P Condra</i>
Registration No. (Attorney/Agent)	37113
Date	June 10, 2002



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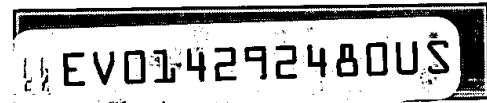
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DAVID B. EHRLINGER (1920-2000)  
TOWNSEND F. BEAMAN (1931-1983)

Attorney's Docket: SPM-290-A  
Box CPA  
Assistant Commissioner of Patents  
Washington, D.C. 20231



Sir:

Enclosed please find an application for U.S. Patent as identified below.

Inventor: Thomas Jung and Claus-Peter Klages

Invention: METHOD AND DEVICE FOR SURFACE-TREATING SUBSTRATES

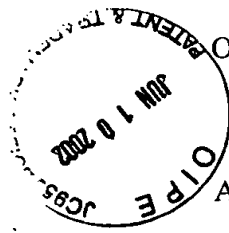
and including: Postcard; Continued Prosecution Application Request Transmittal (CPA)  
PTO Form SB/29; Preliminary Amendment; and Communication.

Filing Fee: \$878.00

Please charge any deficiency or credit any excess in the enclosed fees to Deposit  
Account No. 25-0115.

Darlene P. Condra  
Attorney for Applicant  
Registration No. 37113  
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JUN 14 2002  
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Our Reference: SPM-290-A

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Thomas Jung and Claus-Peter Klages  
Serial Number: 09/529,192  
Filing Date: June 26, 2000  
Examiner/Art Group Unit: Markham, W./1762  
Title: METHOD AND DEVICE FOR SURFACE-  
TREATING SUBSTRATES

COMMUNICATION

**ATTN: BOX CPA**  
Assistant Commissioner of Patents  
Washington, D.C. 20231

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Sir:

This application was filed on April 6, 2000 as a National Stage Patent Application. Therefore, the subject patent application qualifies to file a CPA rather than an RCE.

This CPA requests entry of the claims as amended in the Amendment dated May 9, 2002 plus the entry of the two additional claims added in the enclosed Preliminary Amendment.

Respectfully submitted,

YOUNG & BASILE, P.C.

*Darlene P. Condra*  
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Attorney for Applicant(s)  
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Dated: June 10, 2002  
DPC/dge

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6/12/00



<b>Applicant:</b>	<b>Thomas Jung and Claus-Peter Klages</b>
<b>Serial Number:</b>	<b>09/529,192</b>
<b>Filing Date:</b>	<b>June 26, 2000</b>
<b>Examiner/Art Group Unit:</b>	<b>Markham, W./1762</b>
<b>Title:</b>	<b>METHOD AND DEVICE FOR SURFACE-TREATING SUBSTRATES</b>

**PRELIMINARY AMENDMENT**

Attn: Box CPA  
Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

If any charges or fees must be paid in connection with the following

communication, they may be paid out of our Deposit Account No. 25-0115.

Prior to initial examination, please amend the above-identified patent

application as indicated below.

In the claims:

Please add new claim 23 as follows:

23. (New) A process for surface treatment of at least one electrically conducting substrate or a substrate that has been coated so as to be electrically conducting, the process comprising the steps of:

- placing a gas in a region of an electric discharge;
- restricting the discharge region on at least two opposite sides by surfaces to be treated, wherein the one or more substrates form a hollow cathode;
- treating the substrate surfaces by a hollow-cathode glow discharge, said discharge activated by a DC voltage, a pulsed DC voltage, a pulsed DC voltage or a low-, intermediate-, or high-frequency AC voltage; and

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